

Date: October 25, 2013

**MEMORANDUM FOR THE STATE OF ILLINOIS  
1033 PROGRAM STATE COORDINATOR**

SUBJECT: Program Compliance Review (PCR) Checklist

**I. LESO will Verify:**

- |   |                             |
|---|-----------------------------|
| *1. Is the State Coordinator appointed, in writing, by the current Governor of the State?   | Choose an item.             |
| 1a. Appointment letter effective date:  | Click here to enter a date. |
| *2. Is the State Coordinator appointment letter on-file with the Law Enforcement Support Office (LESO)?                           | Choose an item.             |
| *3. Has the current State Coordinator signed the current Defense Logistics Agency (DLA) Memorandum of Agreement (MOA)?            | Choose an item.             |
| 3a. MOA date:   | Click here to enter a date. |
| 4. If applicable, are State Points of Contact (SPOCs) appointed, in writing, by the current Governor appointed State Coordinator? | Choose an item.             |
| 4a. Is SPOC appointment letter (s) on-file with the LESO?   | Choose an item.             |
| 5. Has the State Coordinator delegated his/her authority to anyone other than a SPOC?   | Choose an item.             |
| 5a. Is delegation of authority letter (s) on-file with the LESO?  | Choose an item.             |

Comments: Click here to enter text.

**II. Website Knowledge:**

- |  |                 |
|--|-----------------|
| 1. Appointed personnel performing the duties with the State 1033 Program, are proficient and knowledgeable when utilizing the following DLA websites:          |                 |
| 1a. AMPS Website: <a href="https://amps.dla.mil">https://amps.dla.mil</a>  | Choose an item. |
| 1b. RTD Website: <a href="https://business.dla.mil/landing/index.jsp">https://business.dla.mil/landing/index.jsp</a>   | Choose an item. |
| 1c. DLA Disposition Services Website:<br><a href="https://www.dispositionservices.dla.mil/index.shtml">https://www.dispositionservices.dla.mil/index.shtml</a> | Choose an item. |
| 1d. LESO Website:<br><a href="https://www.dispositionservices.dla.mil/rtd03/leso/">https://www.dispositionservices.dla.mil/rtd03/leso/</a>                     | Choose an item. |

Comments: Click here to enter text.

**III. Eligibility Requirements:**

- |   |                 |
|---|-----------------|
| 1. Are Applications for Participation submitted by Law Enforcement Agencies (LEA) with arrest and apprehension authority signed by the Chief Executive Official (CEO), then forwarded to the State Coordinator? | Choose an item. |
| 2. Does the State Coordinator and/or SPOC (s) verify that the LEA is authorized to participate in the 1033 Program?   | Choose an item. |
| 3. Are State Coordinator-approved Applications for Participation forwarded to the LESO for approval?  | Choose an item. |

Comments: Click here to enter text.

#### **IV. Records Management:**

- \*1. Is there a current State Plan of Operation on file for the State?  
1a. State Plan of Operation effective date: Choose an item.  
Click here to enter a date.
- \*2. Does the State Coordinator keep current copy of the State Plan of Operation, signed by the LEA CEO in LEA file? Choose an item.
- 3. Does each LEA keep current copy of the State Plan of Operation, signed by their CEO on file? Choose an item.
- 4. Does the State Plan of Operation address the following areas:
  - 5a. Purpose Choose an item.
  - 5b. Authority Choose an item.
  - 5c. Terms and Conditions:
    - LEA Eligibility Criteria Choose an item.
    - How to enroll in the 1033 Program Choose an item.
    - LEA Screener Criteria Choose an item.
    - Identification/Acquisition of Property Choose an item.
    - Transportation of Property Choose an item.
    - Storage of Property Choose an item.
    - Distribution of Property Choose an item.
    - Security of Property Choose an item.
    - Accountability of Property Choose an item.
    - Establish an Inactive File Choose an item.
    - Utilization of Property Choose an item.
    - State internal compliance reviews Choose an item.
    - Transfer of property Choose an item.
    - Disposal of property Choose an item.
    - Turn-in of property Choose an item.
  - 5d. DEMIL Property requirements Choose an item.
  - 5e. Training opportunities Choose an item.
  - 5f. State responsibilities in the 1033 Program Choose an item.
  - 5g. LEA responsibilities in the 1033 Program Choose an item.
  - 5h. Suspension and/or Termination Criteria Choose an item.
  - 5i. Signature requirements (ie. LEA CEO/State Coordinator/SPOC) Choose an item.

Comments:

[Click here to enter text.](#)

#### **V. Records Retention:**

- 1. Are the following documents on-file with the State Coordinators Office and/or LEA?
  - 1a. DLA Form 103s (aka Manual Requisitions) Choose an item.
  - 1b. DD Form 1348-1A (for all 1033 Program property currently on the LEA inventory) Choose an item.
  - 1c. DD Form 1348-1A (for all turn-ins) Choose an item.
  - 1d. DD Form 1348-1A (for all transfers) Choose an item.
  - 1e. Transfer documentation Choose an item.
  - 1f. Turn-in documentation Choose an item.
  - 1g. Inventory adjustment documentation for authorized Choose an item.

property

1h. ATFE Form 10

Choose an item.

1i. ATFE Form 5

Choose an item.

1j. FAA Certificate of Aircraft Registration (Form 8050-1)

Choose an item.

1k. Exception to policy memorandums (if applicable)

Choose an item.

1l. Other documentation as applicable [justification forms, Memorandum for Record (s), etc]

Choose an item.

Comments:

[Click here to enter text.](#)

## **VI. Property and Inventory Control:**

1. Is 1033 Program property properly stored in a controlled storage area with limited access?

Choose an item.

2. Have all reports of missing, lost, stolen, damaged or destroyed 1033 Program property been reported to the appropriate State Coordinators Office?

Choose an item.

3. Have all reports of missing, lost, stolen, damaged or destroyed 1033 Program property been reported to the appropriate Local/State/Federal Officials and the LESO? Note: If the property is DEMIL Coded B, C, D, E, F, G or Q3 you have (24) Hours for notification. If your property is DEMIL Code A, or Q (with an Integrity Code of 6) you have within (7) days to report.

Choose an item.

4. In determining State Coordinator's recommendation for approval of LEA request, is consideration given to the needs and resources of its LEAs (i.e. size of LEA, mission requirement and like property on hand)? NOTE: LESO personnel must conduct a random search of records.

Choose an item.

5. Are annual reconciliations of property receipts being conducted?

Choose an item.

6. Has the State submitted the previous Fiscal Year's certified inventory to the LESO?

Choose an item.

6a. Date submitted: [Click here to enter a date.](#)

\*7. Are photographs of Front, Side and Data Plates provided to the LESO for Aircraft, Watercraft and Tactical Vehicles?

Choose an item.

\*8. Are photographs of Weapons Data Plates provided to the LESO?

Choose an item.

Comments:

[Click here to enter text.](#)

## **VII. Transitional Distribution Point (TDP):**

\*1. Is there an authorization document from DLA, on hand, authorizing your State to operate as a TDP?

Choose an item.

2. Are TDP property requests earmarked for a specific LEA identifying them as the end user?

Choose an item.

3. Is 1033 property identified and stored separate from other categories of property such as 1122 and State Agencies for Surplus Property (SASP)?

Choose an item.

4. Does the State Coordinator and/or SPOC understand that transfers of 1033 Program property from the TDP to LEAs within his/her State

Choose an item.

still need to be processed via the LESO prior to physical movement of property?

Comments: [Click here to enter text.](#)

### **VIII. Compliance and Utilization Reviews:**

\*1. Is there a State-level 1033 Program Compliance Review process in-place, that ensures that 5% of State LEAs are inspected within the 2-year reporting period since the last PCR? [Choose an item.](#)

(Current MOA-2009 states that “The State shall: Conduct an OER of LEAs participating in the program in order to ensure accountability, responsibility, and program compliance.” Therefore, until new MOA is signed and effective, the “PASS/FAIL” criteria is based on proof that the State Coordinator/SPOC has an internal review process in place that ensures accountability, responsibility and program compliance of LEAs within their State.)

2. Does the State Coordinator follow through with LEAs to rectify cases on non-compliance found on State Level PCRs? [Choose an item.](#)

3. Does the State Coordinator provide documentation to the DLA LESO in cases of non-compliant LEAs? [Choose an item.](#)

3. What steps are taken to resolve cases of non-compliance to the terms and conditions of the 1033 Program?

[Click here to enter text.](#)

Comments: [Click here to enter text.](#)

### **IX. Non-Utilized 1033 Program Property:**

1. Are current procedures in place for LEAs to identify and report serviceable property when no longer needed? [Choose an item.](#)

2. What steps does the State Coordinator take to ensure LEAs do not requisition unnecessary or excessive amounts of property?

[Click here to enter text.](#)

3. What steps does the State Coordinator take to ensure 1033 Program property is not sold?

[Click here to enter text.](#)

4. Has there been an incident, since the last conducted PCR, where an LEA has sold property received under the 1033 Program or received 1033 Program property for the sole purpose of selling it? [Choose an item.](#)

4a. If yes, provide detail and supporting documentation of the outcome (who, what, when, where, how much).

[Click here to enter text.](#)

Comments: [Click here to enter text.](#)

### **X. Compliance to LESO MOA:**

1. Is all property transferred consistent with requirements of the DLA MOA? [Choose an item.](#)

2. Is the State Coordinator’s Office aware that they must ensure that the [Choose an](#)

- LEA maintains adequate insurance to cover damages or injuries to persons or property relating to the use of the property. (Self-insurance by the State/LEA is acceptable) item.
3. Is the State Coordinators Office aware that property available under the MOA is for the current use of authorized program participants; it will not be requested nor issued for speculative use? Choose an item.
4. Is the State Coordinators Office aware that property will not be obtained for the purpose of sale, lease, loan rent, exchange, barter, to secure a loan, or to otherwise supplement normal Law Enforcement Agency (LEA) or State/Local governmental entity budgets? Choose an item.
5. Is the State Coordinator Office aware that any transportation, repair, maintenance, insurance, disposal or other expenses associated with the excess Department of Defense (DOD) personal property is the sole responsibility of the State/LEA? Choose an item.
6. Is the State Coordinators Office aware that all property obtained under the MOA must be placed into use within one (1) year of receipt and utilized for a minimum of one (1) year, unless the condition of the property renders it unusable? Choose an item.
7. Is the State Coordinators Office aware approval of any variation to the above standard for property no longer needed by an LEA must be approved by the LESO through the State Coordinators Office? Choose an item.
8. Is the State Coordinator's Office aware that the DOD has authorized the transfer and use of excess DoD property to the State/LEA and as such reserves the right to recall any and all property issued at the state or LEA expense? Choose an item.
9. Is the State Coordinators Office aware that excess DEMIL A & Q (with Integrity Code of 6) property will transfer title to the State/LEA after receipt, placement into use and utilization for a minimum of one (1) year? Choose an item.
10. Is the State Coordinators Office aware that to the extent permitted by law, the State Coordinator/LEA shall indemnify and hold the U.S. Government harmless from any and all actions, claims, debts, demands, judgments, liabilities, cost, and attorney's fees arising out of, claimed on account of, or in any manner predicated upon loss of or damage to property and injuries, illness or disabilities to or death of any and all persons whatsoever, including members of the general public, or to the property of any legal or political entity including states, local and interstate bodies, in any manner caused by or contributed to by the State/LEA, its agents, servants, employees, or any person subject to its control while in, upon or about the sale site and/or the site on which the property is located, or while the property is in the possession of, used by or subject to the control of the State/LEA, its agents, servants, or employees after the property has been removed from U.S. Government control. The U.S. Government assumes no liability for damages or injuries to any person(s) or property arising from the use of the property. Choose an item.

Comments:

[Click here to enter text.](#)

## **XI. Conclusion:**

The Program Compliance Review for the State of ILLINOIS, has been completed. The DLA LESO has found the State to be Choose an item. with the current terms and conditions as set forth in the DLA to State MOA.

**XII. Areas of concern:**

Click here to enter text.

**XIII. Areas of Recommendation:**

Click here to enter text.

**XIV. Areas of Praise:**

Click here to enter text.

1. Click here to enter text.
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11. Click here to enter text.
12. Click here to enter text.
13. Click here to enter text.
14. Click here to enter text.

Click here to enter text.

**XV. PCR Inventory Results:**

STATE OF ILLINOIS 1033 PROGRAM PROPERTY						
	STATE TOTALS	*REQUIRED SAMPLE SIZE	TOTAL REVIEWED DURING PCR		TOTAL ON-HAND	% ACCURACY
WEAPONS			*ITEMS PHYSICALLY INVENTORIED	*ITEMS REVIEWED VIA APPROVED CUSTODY CARD		
AIRCRAFT			*ITEMS PHYSICALLY INVENTORIED	*ITEMS REVIEWED VIA APPROVED CUSTODY CARD		
WATERCRAFT			*ITEMS PHYSICALLY INVENTORIED	*ITEMS REVIEWED VIA APPROVED CUSTODY CARD		
TACTICAL VEHICLES			*ITEMS PHYSICALLY INVENTORIED	*ITEMS REVIEWED VIA APPROVED CUSTODY CARD		
GENERAL			*ITEMS PHYSICALLY INVENTORIED	*ITEMS REVIEWED VIA APPROVED CUSTODY CARD		

PROPERTY					
TOTALS					
<b>**OVERALL STATE INVENTORY ACCURACY RATE (%):</b>					

\* The DLA LESO PCR Team is required to physically inventory or obtain an acceptable custody card for 100% of the 1033 Program Weapons, Aircraft, Watercraft and Tactical Vehicles, as appearing on the accountable record, for each LEA that has been selected for review during the PCR. An acceptable version of a custody card must contain the following elements: 1) LEA name, 2) Name of individual responsible for physical custody of item, 3) Item nomenclature (Name), 4) Serial number of item (if applicable), 5) QTY of item (if more than one), 6) Printed name of individual responsible for physical custody of item 7) Signature of individual responsible for physical custody of the item and 8) Date.

\*\*Overall State Inventory Accuracy Rate (%) is determined by adding required Weapons (A), Aircraft (B), Watercraft (C), Tactical Vehicles (D) and General Property (E) at LEAs selected for review during the PCR, and dividing by the actual # of the property that was physically inventoried (X) or verified via an approved custody card (Y) during the course of the PCR

$\frac{A + B + C + D + E}{(X \text{ or } Y)}$	= Overall State Inventory Accuracy Rate (%)
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**XVI. PCR Training provided to the State:** Choose an item.

PCR Training Date:

<u># of Agencies Trained</u>	<u># of Officers Trained</u>	<u># of State Coordinator/SPOC trained</u>	<u># of DLA Disposition Services Field Representatives Trained</u>
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.

Thank you for the support and professionalism shown to us during our visit. As always, we at the LESO stand ready to support and serve. If you have any questions or concerns, please feel free to contact us at 1-800-532-9946 or via email at [DRMSLESO@dla.mil](mailto:DRMSLESO@dla.mil).

**XVII. Program Compliance Review Team:**

X

Choose an item.

X

Choose an item.

X

Choose an item.

X

Choose an item.

**Dates of Program Compliance Review:**

to

## DAILY ACTIVITY REPORT (LESO USE ONLY)

\* The DLA LESO PCR Team is required to physically inventory or obtain an acceptable custody card for 100% of the 1033 Program Weapons, Aircraft, Watercraft and Tactical Vehicles, as appearing on the accountable record, for each LEA that has been selected for review during the PCR. An acceptable version of a custody card must contain the following elements: 1) LEA name, 2) Name of individual responsible for physical custody of item, 3) Item nomenclature (Name), 4) Serial number of item (if applicable), 5) QTY of item (if more than one), 6) Printed name of individual responsible for physical custody of item 7) Signature of individual responsible for physical custody of the item and 8) Date.

\*\*Overall State Inventory Accuracy Rate (%) is determined by adding required Weapons (A), Aircraft (B), Watercraft (C), Tactical Vehicles (D) and General Property (E) at LEAs selected for review during the PCR, and dividing by the actual # of the property that was physically inventoried (X) or verified via an approved custody card (Y) during the course of the PCR

$\frac{A + B + C + D + E}{(X \text{ or } Y)}$	<b>= Overall State Inventory Accuracy Rate (%)</b>
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**PCR In-Brief:**

<b>Date:</b>		<b>Time:</b>	
<b>Location:</b>			
<b><u>Brief Narrative:</u></b>			

**Agency #1:**

<b>Date Visited:</b>					
<b>Agency Visited:</b>					
<b>Chief Executive Officer:</b>					
<b>Address:</b>					
<b>Phone Number:</b>					
	<b><u>1033 Program Property</u></b>				
	<b><u>Total On-Hand</u></b>	<b><u>Required Sample Size</u></b>	<b><u>Total Reviewed During PCR</u></b>		<b><u>Inventory Accuracy (%)</u></b>
			<b><u># of items Physically Inventoried</u></b>	<b><u># of approved custody cards reviewed</u></b>	
<b>Weapons:</b>					
<b>Aircraft:</b>					
<b>Watercraft:</b>					
<b>Tactical Vehicles:</b>					
<b>General Property:</b>					
<b>Totals:</b>					
	<b><u>1033 Program Documentation</u></b>				



	<u>On-Hand?</u> Y/N	<u>Signed by Current State Coordinator?</u> Y/N	<u>Signed by Current Chief Executive Officer?</u> Y/N	<u>Date</u>
State Plan of Operation:				
Application for Participation:				
<u>Brief Narrative of Visit:</u>				
<u>Corrective Actions Assigned:</u>				

**Law Enforcement Support Office**  
**ILLINOIS PCR In-Brief Document**

<b>ILLINOIS Agencies selected for review</b>
<b>PCR Region Region:</b> Click here to enter text.
1. Click here to enter text.
2. Click here to enter text.
3. Click here to enter text.
4. Click here to enter text.
5. Click here to enter text.
6. Click here to enter text.
7. Click here to enter text.
8. Click here to enter text.
9. Click here to enter text.
10. Click here to enter text.
<b>PCR Team:</b> Click here to enter text.
<b>PCR Team Leader-</b> Click here to enter text.

The background, purpose, and scope of the PCR:

**Background-** Per the Defense Logistics Agency (DLA) Disposition Services, Law Enforcement Support Office (LESO) Standard Operating Procedures (SOP) and the DLA Memorandum of Agreement (MOA) between DLA and the State of Pennsylvania, the DLA Disposition Services LESO will conduct a Program Compliance Review (PCR) for all States and Territories with agencies enrolled in the 1033 Program every two (2) years.

**Purpose-** PCRs are performed in order to ensure that State Coordinators, SPOCs and all LEAs within a State are compliant with the terms and conditions of the 1033 Program as required by the DLA Disposition Services LESO MOA with the State.

**Scope-** During the PCR, the DLA Disposition Services LESO will review property and

administrative records of the State Coordinators Office and selected Law Enforcement Agencies (LEAs) within the State. Subsequent to the PCR, the DLA Disposition Services LESO will provide the State Coordinators Office an overall rating in terms of compliance or non-compliance with the terms and conditions of the 1033 Program.

Statistics related to the conditional transfer of property via the 1033 Program to the State of  
Choose an item.:

Choose an item.		
	# of items	Acquisition Value
<b>General Property</b>		
<b>Aircraft</b>		
<b>Watercraft</b>		
<b>Tactical Vehicles</b>		
<b>Weapons</b>		
<b>Totals</b>		
<b>LEAs Currently Enrolled in the 1033 Program</b>		
<b>State/Local</b>		
<b>Federal</b>		
<b>Tribal</b>		
<b>Total</b>		

Statistics related to the 1033 Program property to be either physically reviewed, or accounted for via acceptable custody card, during the course of the PCR.

1033 Program Property to be seen during Choose an item. PCR			
	To be seen	%	Total Acquisition Value
<b>General Property</b>			
<b>Aircraft</b>			
<b>Watercraft</b>			
<b>Tactical Vehicles</b>			
<b>Weapons</b>			
<b>Totals</b>			